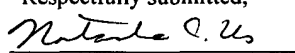| UTILITY PATENT APPLICATION TRANSMITTAL<br>(Only for new nonprovisional applications under 37 CFR 1.53(b)) | Attorney Docket No. | ASC-022CPCN |
| | First Named Inventor | Wu |
| | Title | ETCH STOP LAYER SYSTEM |

PTO U.S 21906 U.S PTO 10/603852 06/25/03

### APPLICATION ELEMENTS

ADDRESS TO: **Mail Stop Patent Application**
**Commissioner for Patents**
**P.O. Box 1450**
**Alexandria, VA 22313-1450**

1. ☒ Fee Transmittal Form
2. ☐ Small Entity Status
   ☐ Applicant claims small entity status
   ☐ Status established in prior application and is still proper and desired

### ACCOMPANYING APPLICATION PARTS

3. ☒ Specification and Drawings [Total Pages 62]
   - Cover Sheet - (1 page)
   - Written Description - (31 pages)
   - Claims - (14 pages)
   - Abstract - (1 page)
   - Sheets of Drawings - (15 sheets)
   ☒ Informal

8. ☐ 37 CFR 3.73(b) Statement (*when there is an assignee*)
   ☐ Power of Attorney

9. ☐ English Translation Document (*if applicable*)

10. ☐ Information Disclosure Statement (IDS)/PTO-1449
    ☐ Copies of IDS Citations

4. ☒ Oath or Declaration [Total Pages ]
   a. ☐ Newly executed (original)
   b. ☒ Copy from a prior application (37 CFR 1.63(d))
   (*for continuation/divisional with Box 17 completed*)
   [*Note Box 5 below*]

11. ☒ Preliminary Amendment
    ☐ Drawings [Total Sheets ]

12. ☒ Return Receipt Postcard (*specifically itemized*)

5. ☒ Incorporation by Reference (usable if Box 4b is checked)
   The entire Disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

13. ☐ Certified Copy of Priority Document(s) (*if foreign priority claimed*)

14. ☐ Nonpublication Request Under 35 U.S.C. 122(b)

6. ☒ Application Data Sheet

15. ☐ CD in duplicate for large table or computer program

7. ☐ Nucleotide and/or Amino Acid Sequence Submission
   ☐ Computer Readable Form (CRF)
   ☐ Paper Copy (identical to computer copy)
   ☐ CD (2 copies) (identical to computer copy)
   ☐ Statement verifying identity of above copies

16. ☒ Other:
    - Power of Attorney by Assignee of Entire Interest and Revocation of Prior Powers and New Power of Attorney
    -- Transmittal of Formal Drawings
    -- Formal Drawings (15 sheets)

17. ☒ **If a CONTINUING APPLICATION:** Amend the specification by inserting on page 1, before the first line, the sentence:
--This is a
   ☒ continuation of prior application Serial No. 09/599,260, filed on June 22, 2000, which is a continuation-in-part of application Serial No. 09/289,514 filed April 9, 1999, which claims priority from provisional application Serial No. 60/081,301, filed April 10, 1998, the entire disclosure of which is incorporated by reference herein.--
   **Priority to the above application(s) is claimed under 35 U.S.C. 120.**
   Prior application information: Examiner: _____. Group/Art Unit: _____.

18. ☒ **Priority - 35 U.S.C. 119**
   ☒ Priority of application Serial No. 60/081,301 filed on April 10, 1998 in the U.S. Patent and Trademark Office is claimed under 35 U.S.C. 119.
   ☐ The certified copy has been filed in prior U.S. application Serial No. _____/_____ on _____.
   ☐ The certified copy will follow.

| CORRESPONDENCE ADDRESS | SIGNATURE BLOCK |
| --- | --- |
| Direct all correspondence to: Patent Administrator<br>Testa, Hurwitz & Thibeault, LLP<br>High Street Tower<br>125 High Street<br>Boston, MA 02110<br>Tel. No.: (617) 248-7000<br>Fax No.: (617) 248-7100<br>Customer No. 021323 | Respectfully submitted,<br>*Natasha C. Us* (signature)<br><br>Date: June 25, 2003<br>Reg. No. 44,381<br>Tel. No.: (617) 310-8327<br>Fax No.: (617) 248-7100<br>Natasha C. Us<br>Attorney for the Applicants<br>Testa, Hurwitz & Thibeault, LLP<br>High Street Tower<br>125 High Street<br>Boston, MA 02110 |

2645239-1

*Express Mail Mailing Label No. EV289511652US*

# FEE TRANSMITTAL
## FY 2003

| Complete if Known | |
|---|---|
| Application Serial Number | Not yet assigned |
| Filing Date | Herewith |
| First Named Inventor | Wu |
| Group Art Unit | Not yet assigned |
| Examiner Name | Not yet assigned |
| Attorney Docket No. | ASC-022CPCN |

## METHOD OF PAYMENT

1. ☒ Payment Enclosed:
   ☒ Check ☐ Money Order ☐ Other

2. ☒ The Commissioner is hereby authorized to credit or charge any fee indicated below for this submission to Deposit Account No. 20-0531.
   - ☐ Required Fees (copy of this sheet enclosed).
   - ☒ Additional fee required under 37 CFR 1.16 and 1.17.
   - ☒ Overpayment Credit.

3. ☐ Applicant claims small entity status.

## FEE CALCULATION

### 1. FILING FEE

**Large Entity**

| Fee ($) | Fee Description | Fee Paid |
|---|---|---|
| 750 | Utility filing fee | 750.00 |
| 330 | Design filing fee | |
| 160 | Provisional filing fee | |

| | Number Filed | Number Extra | Rate | Amount |
|---|---|---|---|---|
| Total Claims | 121 | - 20 = 101 | x $ 18.00 = | 1,818.00 |
| Independent Claims | 10 | - 3 = 7 | x $ 84.00 = | 588.00 |

☐ Multiple Dependent Claim(s), if any $280.00 =

| | | |
|---|---|---|
| TOTAL: | | 3,156.00 |
| SMALL ENTITY DISCOUNT: | | |
| SUBTOTAL (1) | ($) | 3,156.00 |

### 2. AMENDMENT CLAIM FEES

| Claims Remaining After Amend. | Highest No. Previously Paid For | Present Extra | Rate | Fee Paid |
|---|---|---|---|---|
| Total | - | = | x $ 18.00 = | |
| Indep. | - | = | x $ 84.00 = | |
| ☐ First Presentation of Multiple Dep. Claim | | | + $280.00 = | |

| | | |
|---|---|---|
| TOTAL: | ($) | |
| SMALL ENTITY DISCOUNT: | ($) | |
| SUBTOTAL (2) | ($) | 0.00 |

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity Fee ($) | Small Entity Fee ($) | Fee Description | Fee Paid |
|---|---|---|---|
| 130 | 65 | Surcharge - late filing fee or oath | |
| 50 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 130 | 130 | Non-English specification | |
| 2,520 | 2,520 | Request for ex parte reexamination | |
| 110 | 55 | Extension for reply within first month | |
| 410 | 205 | Extension for reply within second month | |
| 930 | 465 | Extension for reply within third month | |
| 1450 | 725 | Extension for reply within fourth month | |
| 1970 | 985 | Extension for reply within fifth month | |
| 320 | 160 | Notice of Appeal | |
| 320 | 160 | Filing a brief in support of an appeal | |
| 280 | 140 | Request for oral hearing | |
| 130 | 130 | Petitions to the Commissioner | |
| 180 | 180 | Submission of Information Disclosure Statement | |
| 750 | 375 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 750 | 375 | For each additional invention to be examined (37 CFR 1.129(b)) | |
| 100 | 100 | Certificate of Correction for applicant's error | |

Other fee (Specify) _____
Other fee (Specify) _____

| SUBTOTAL (3) | ($) | 0.00 |
|---|---|---|

| SUBTOTAL (1) | 3,156.00 |
|---|---|
| SUBTOTAL (2) | 0.00 |
| SUBTOTAL (3) | 0.00 |
| **TOTAL** ($) | 3,156.00 |

## CORRESPONDENCE ADDRESS

Direct all correspondence to:
Patent Administrator
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High Street Tower-125 High Street
Boston, MA 02110
Tel. No.: (617) 248-7000
Fax No.: (617) 248-7100

## SIGNATURE BLOCK

Respectfully submitted,

*Natasha C. Us*

Date: June 25, 2003
Reg. No.: 44,381
Tel. No.: (617) 310-8327
Fax No.: (617) 248-7100

Natasha C. Us
Attorney for the Applicants
Testa, Hurwitz & Thibeault, LLP
High Street Tower-125 High Street
Boston, MA 02110

2645253-1

**PATENT**
Attorney Docket No. ASC-022CPCN

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS:        Wu et al.

SERIAL NO.:        Not yet assigned        GROUP NO.:        Not yet assigned

FILING DATE:       Herewith                EXAMINER:         Not yet assigned

TITLE:             ETCH STOP LAYER SYSTEM

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450
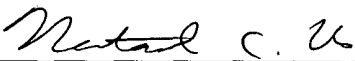
## TRANSMITTAL OF FORMAL DRAWINGS

Sir:

Transmitted herewith for filing in the above-referenced patent application are fifteen (15) sheets of formal drawings.

Respectfully submitted,

Date:  June 25, 2003
Reg. No. 44,381

Tel. No.: (617) 310-8327
Fax No.: (617) 248-7100

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